

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William R. Hambrecht et al. Art Unit : Unknown
Serial No. : To be assigned Examiner : Unknown
Filed : August 4, 2003
Title : AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION
DURING CAPITAL FORMATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

This statement is being filed with the application. Please apply any charges or credits to
Deposit Account No. 06-1050.

Respectfully submitted,

Date: 8-4-03

Barbara A Benoit
Barbara A. Benoit
Reg. No. P-54,777

Fish & Richardson P.C.
1425 K Street, N.W.
11th Floor
Washington, DC 20005-3500
Telephone: (202) 783-5070
Facsimile: (202) 783-2331

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 13085-007002	Application No. To be assigned
	Applicant William R. Hambrecht et al.		
	Filing Date August 4, 2003	Group Art Unit To be assigned	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	3,581,072	05/25/71	Nymeyer			
	AB	4,789,928	12/06/88	Fujisaki			
	AC	4,903,201	02/20/90	Wagner			
	AD	4,980,826	12/25/90	Wagner			
	AE	5,077,665	12/31/91	Silverman et al.			
	AF	5,101,353	03/31/92	Lupien et al.			
	AG	5,136,501	08/04/92	Silverman et al.			
	AH	5,193,056	03/09/93	Boes			
	AI	5,243,515	09/07/93	Lee			
	AJ	5,297,031	03/22/94	Guterman et al.			
	AK	5,375,055	12/20/94	Togher et al.			
	AL	5,497,317	03/05/96	Hawkins et al.			
	AM	5,502,637	03/26/96	Beaulieu et al.			
	AN	5,640,569	06/17/97	Miller et al.			
	AO	5,774,176	06/30/98	Carter			
	AP	5,774,880	06/30/98	Ginsberg			
	AQ	5,794,207	08/11/98	Walker et al.			
	AR	5,794,219	08/11/98	Brown			
	AS	5,802,501	09/01/98	Graff			
	AT	5,809,483	09/15/98	Broka et al.			
	AU	5,835,896	11/10/98	Fisher et al.			
	AV	5,845,266	12/01/98	Lupien et al.			
	AW	5,857,176	01/05/99	Ginsberg			
	AX	5,905,974	05/18/99	Fraser et al.			
	AY	5,905,975	05/18/99	Ausubel			
	AZ	5,915,209	06/22/99	Lawrence			

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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	BA	5,924,083	07/13/99	Silverman et al.			
	BB	5,946,667	08/31/99	Tull, Jr. et al.			
	BC	5,995,947	11/30/99	Fraser et al.			
	BD	6,014,627	01/11/00	Togher et al.			
	BE	6,026,383	02/15/00	Ausubel			
	BF	6,035,287	03/07/00	Stallaert et al.			
	BG	6,161,099	12/12/00	Harrington et al.			
	BH	US 2001/0034692 A1	10/25/01	McRedmond			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	BI	WO 00/51047 A2	08-2000	PCT	Cinelli et al.			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	BJ	Bicknell, Craig, "IPOs for the Everyman", <u>Wired News</u> , February 8, 1999, 1 pg.
	BK	Bransten, L., et al., "New Company Aims to Shift IPO Playing Field", <u>The Wall Street Journal</u> , February 8, 1999, Page C1.
	BL	Carlsen, Clifford, "Veteran bankers use Net power to fuel IPO market", <u>San Francisco Business Times</u> , February 12, 1999, 1 pg.
	BM	"IPOs for the Public--Really!", <u>CNNfn</u> , February 8, 1999, 1 pg.
	BN	Daly, Breñon, "West Coast firm sets new way for IPOs", <u>CBS Market Watch Report</u> , February 8, 1999, 1 pg.
	BO	Davis, Jeffrey, "The Underwriting Underdog", <u>Business2.0</u> , 7 pgs.
	BP	Edwards, Bob, et al., "Morning Edition (10:00 am on ET)", <u>National Public Radio</u> , February 12, 1999, 1 pg.
	BQ	Friedman, Josh, "A Toast to Open IPO From the 'Little Guy'", <u>Los Angeles Times</u> , April 13, 1999, 1 pg.
	BR	Gates, Stephanie, "The Next Generation of i-banking", <u>Red Herring: The Business of Technology</u> , February 9, 1999, 1 pg.
	BS	Gerhard, Markus, et al., "A Secure Electronic Market for Anonymous Transferable Emission Permits", <u>Proc 31st Annual Hawaii International Conference on System Sciences</u> , IEEE, 1998, pp. 232-241.

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CA	Gilpin, Kenneth N., "How the Web Can Improve Corporate Underwriting", <u>The New York Times</u> , February 14, 1999, 1 pg.
CB	Gorda, Brent, et al., "Building and Running Online Auctions", <u>Dr. Dobb's Journal</u> , Oct. 1997, pp. 86-88, 91, 104.
CC	Hansell, Saul, "Internet Auction System Set For Pricing Stock Offerings", <u>The New York Times</u> , February 8, 1999, Section C7, 1 pg.
CD	Michael Harkavy, et al., "Electronic Auctions with Private Bids", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, pgs. 61-73, 8/31-9/3/98.
CE	Henry, David, "Street Talk: IPOs for All", <u>USA Today</u> , February 9, 1999, 1 pg.
CF	Hambrecht, William, "Dutch Treat", <u>TIME digital</u> , May 17, 1999, 1 pg.
CG	"W.R. Hambrecht + Co. Pioneers New Approach to Investment Banking With Launch of OpenIPO", <u>IPO Monitor</u> , San Francisco, February 8, 1999, 2 pgs.
CH	Junnarkar, Sandeep, "Bringing Auction-Based IPOs to the Web", <u>Cnet News.Com</u> , February 8, 1999, 1 pg.
CI	Kikuchi, Hiroaki, et al., "Multi-Round Anonymous Auction Protocols", <u>IEICE Trans. Inf. & Syst.</u> , Vol. E82-D, No. 4, April 1999, pp. 769-776.
CJ	Kumar, Manoj, et al., "Internet Auctions", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, 8/31-9/3/98, pp. 49-60.
CK	Letter from David V. Landes to Dan Veres dated August 16, 1996, with attachments.
CL	Markus, Kim, et al., "Sonoma's Ravenswood to Offer Public Shares Over Internet", <u>Wine Spectator</u> , April 30, 1999, 1 pg.
CM	Chang, Yi-Hsin, "Putting the 'I' in IPO", <u>The Motley Fool</u> , February 8, 1999, 1 pg.
CN	Mullen, Tracy, et al., "The Auction Manager: Market Middleware for Large-Scale Electronic Commerce", <u>3rd USENIX Workshop on Electronic Commerce</u> , USENIX Association, 8/31-9/3/98, pp. 37-47.
CO	Mulligan, Thomas, "Internet Auction System Challenges Wall Street", <u>Los Angeles Times</u> , February 9, 1999, 1 pg.
CP	O'Connor, Ashling, "Internet Site Bids for Investors", <u>Financial Times</u> , May 18, 1999, 2 pgs.
CQ	Röhm, Alexander W., et al., "COPS: A Model and Infrastructure for Secure and Fair Electronic Markets", <u>Proceedings of the 32nd Hawaii International Conference on System Sciences - 1999</u> , 10 pgs.
CR	"IPOs Online a Boost for Small Investor", <u>San Jose Mercury News</u> , February 15, 1999, 2 pgs.
CS	Stone, Brad, "How About IPOs for the Masses?", <u>Newsweek</u> , February 15, 1999, pg. 46.
CT	Subramanian, Srividhya, et al., "A Real-Time Protocol for Stock Market Transactions", <u>International Conference on Advance Issues of E-Commerce and Web-Based Information Systems</u> , WECWIS, April 8-9, 1999, IEEE, pp. 2-10.
CU	Letter dated August 28, 1996 from Rick Thomas to Dan Veres with attachment.
CV	Wurman, Peter R., et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", <u>Decision Support Systems</u> , Elsevier Science, Vol. 24, 1998, pp. 17-27.
CW	Young, Eric, "An IPO That's for Everyone", <u>The Sacramento Bee</u> , March 3, 1999, 2 pgs.

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DA	Zimmerman, Ray D., et al., "A Web-Based Platform for Experimental Investigation of Electric Power Auctions", <u>Decision Support Systems</u> , Elsevier Science, Vol. 24, 1999, pp. 193-205.
DB	"Sample Form of MuniBid™ Notice of Sale", 9 pgs.
DC	Brochure, "Introduction to MuniBid™ Optimizing Municipal Bond Sales", 13 pgs.
DD	Pamphlet entitled "MuniBid™ Optimizing Bond Sales for the Tax-Exempt Issuer," undated, 2 pages
DE	Resnick, Amy, B., "Parity On-Line Bidding Program Wins Positive Reviews," <u>The Bond Buyer</u> , May 7, 1997.
DF	Parity ...and the Municipal Securities Issuer, author and date unknown.
DG	Parity brochure, Copyright 1992, 21 st Century Municipals, Inc.
DH	"Internet Benefits SF Redevelopment Offering", <u>California Public Finance</u> , Vol. 10, No. 21, 1 page, Jan. 13, 1997.
DI	Dazzo Nicholas J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Client's with Timely Bond Data: Municipal Bond Dealers Have Never Had it so Easy", <u>The Bond Buyer</u> , Vol. 289, No. 28217, August 29, 1989, 4 pages.
DJ	"JP Morgan and Capital Link in Bid to Develop Electronic Auction for Corporate Debt Securities", <u>Trading Systems Technology</u> , Vol. 2, No. 20, April 24, 1989, 2 pages
DK	Richtmyer, Richard, "Grant Street Advisors Is Setting Up The First Muni Bond Auction Web Site", <u>The Bond Buyer</u> , Vol. 320, No. 30159, 3 pages, June 4, 1997.
DL	Richmeyer Richard, "Survey Shows Bond Market is Warming up to Electronic Trading", <u>The Bond Buyer</u> , Vol. 321, No. 30213, August 20, 1997, 3 pages.
DM	Stirland, Sarah, "News and Trends: Brokers-Dealers to Hawk Products Via Satelite and Cable TV", <u>The Bond Buyer</u> , Vol. 320, No. 30125, April 16, 1997, 3 pages.
DN	U.S. Trademark File History for the Mark "PARITY & Design", (Reg. No. 1,772,581), by Applicant Twenty-First Century Municipals, the file history including specimen entitled "PARITY a Real-Time, No-Risk Bidding Network From 21 Century Municipals", (1992).
DO	Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovation for Competitive Bond Sales", <u>Government Finance Review</u> (Feb. 2000), pp. 23-25.
DP	Richtmyer, Richard, "Gaining PARITY: Dalcomp Purchases Electronic Bid System to Exploit Internet", <u>The Bond Buyer</u> , Feb. 25, 1998, 2 pages.
DQ	Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal", <u>The Bond Buyer</u> , August 19, 1998, 1 page.
DR	Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal", <u>The Bond Buyer</u> , August 21, 1998, 1 page.
DS	FAX from PARITY dated April 30, 1996.
DT	Brochure entitled: "Q: What Do These Issues Have in Common?" by PARITY, Bellevue, WA, 1 page
DU	Tennessee Local Development Authority, "Official Notice of Sale", 1996 Series A
DV	Bid Form Tennessee Local Development Authority; PARITY Bid Form; PARITY Form of Agreement; Suggested language document, 10 pgs.
DW	PARITY Bid Form, printed June 1, 1994, 11 pages

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	EA	City of Pittsburgh, Pennsylvania, "General Obligation Refunding Bonds. Series A of 1996," 10 pgs.
	EB	U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01
	EC	Epstein, Lee, "Newcomers Guide to the Dutch Auction Process (Securities Auctions)", <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990.
	ED	"PopNet Float Shows up the Flaws," <u>The Financial News</u> , February 7, 2000, 2 pages
	EE	"The Initial Public Offering," <u>How the Stock Market Works</u> , John M. Dalton, Editor, 1993, NYIF Corp., Second Edition, pgs. 33-60.
	EF	John Downes and John Elliot Goodman, <u>Dictionary of Finance and Investment Terms</u> , 1998, Fifth Edition, pgs. 132, 243, 600, 275.
	EG	Letter dated August 16, 1996, from David V. Landes to Dan Veres, with attachment

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